



## Dissertation Criteria Assessment

### Approach and Outcome Descriptors

The DCA uses the following two metrics in which faculty assess students in achieving criteria:

- **Meets Criterion:** Students develop the required criterion.
- **Does Not Meet Criterion:** \*Students did not develop the required criterion or \*Required criterion is missing.

\*When Faculty scores “Does Not Meet Criterion,” Faculty should provide clear qualitative feedback in the Tk20 textboxes on how students can meet the criterion.

Some statements may not apply to the study. In these cases, check N/A (not applicable).

Meets Criterion	Does Not Meet Criterion	NA
Students develop the required criterion.	*Students did not develop the required criterion or *Required criterion is missing.	Statement does not apply to the study.

## Background

One of the most compelling aspects of conducting and analyzing original research projects is the prospect of contributing new information to the literature in a field. Whether these contributions are theoretical, empirical, methodological, or practical, these contributions may enhance the available meaning around concepts, aid future researchers in extending the boundaries of inquiry and knowledge and influence the lives of practitioners at all organizational levels and in daily life. However, as an effect of this requirement for novel approaches, research in all fields is difficult to assess from any perspective founded in standards and models, particularly dissertations. Traditionally, the dissertation has served as an evaluative marker of a doctoral candidate's passage into a field of inquiry, but because dissertations take on numerous permutations and approaches, these evaluations have largely been the sole purview of one's chair—an individual typically possessing a wealth of knowledge about the field of study. Although this apprenticeship model has benefited doctoral learning since its inception, little information has been shared to describe how these evaluations are made, what criteria are brought to bear on the research, or how a chair's approval translates to successful publication and the foundation of a larger research agenda. Lovitts (2007, 2006) described a growing need in doctoral education for explicit criteria students and faculty can use to improve research pedagogy, practice, and outcomes.

To address this need in doctoral education, the College of Doctoral Studies (CDS) developed a new comprehensive Dissertation Criteria Assessment (DCA) tool to assess the quality of dissertations at various Phases in their preparation. The DCA aligned with the Standards for Reporting on Empirical Social Science Research in American Educational Research Association Publications (American Educational Research Association, 2006), a document that details the elements of a quality research report as defined by the American Educational Research Association (AERA), the leading organization for educational research and one of the largest and most diverse research organizations in social science. These criteria provide a robust baseline for dissertations while enabling the flexibility needed to address the various methodologies and approaches used by dissertation writers. These criteria align with the publication standards of a prestigious external research organization; their application enhances students' dissertations and contributes to the successful publication of dissertation-related research.

## References

- American Educational Research Association. (2006). Standards for reporting on empirical social science research in AERA publications. *Educational Researcher*, 35(6), 33-40.
- Lovitts, B. E. (2006). Making the implicit explicit: Faculty's performance expectations for the dissertation. In P. L. Maki & N. A. Borkowski (Eds.). *The assessment of doctoral education* (pp. 163-187). Sterling, VA: Stylus.
- Lovitts, B. E. (2007). *Making the implicit explicit: Creating performance expectations for the dissertation*. Sterling, VA: Stylus.

### Phase 1: PROSPECTUS Assessment Rubric

PHASE 1: PROSPECTUS	Meets Criterion	Does Not Meet Criterion	N/A
<b>DEGREE PROGRAM AND TOPIC ALIGNMENT</b>			
1. The proposed dissertation topic aligns to the student's degree program.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>PROBLEM STATEMENT</b>			
2. The draft problem statement is clear, concise, and should be cited. Recent citations within the last five years.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>PURPOSE OF THE STUDY</b>			
3. The draft purpose statement is clear and aligns with the problem.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. A proposed research method and design are stated and are appropriate to the proposed objectives of the study.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. The proposed study objectives are clearly stated.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>POPULATION AND SAMPLE</b>			
6. An appropriate and feasible study population and/or data source is identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Describes sample size and provides rationale for sample size	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>SIGNIFICANCE OF THE STUDY</b>			
8. Discusses why the proposed study may be important and what this research may contribute to knowledge.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>METHODOLOGY (PROPOSED METHOD AND DESIGN)</b>			
9. Proposes a research <i>method</i> (quantitative, qualitative, or mixed) and discusses why the proposed method might be appropriate.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Proposes a research <i>design</i> and discusses why the proposed design might be appropriate to accomplish the study objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>RESEARCH QUESTIONS</b>			
11. Includes proposed research questions that align with the purpose and objectives of the study. <i>Note that quantitative and mixed method studies will require hypotheses to be added during Phase 2.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>TOPIC LITERATURE</b>			
12. Provides 5 to 10 references and 1 to 2 sentences with each reference to describe relevance of the literature.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>TOPIC THEORIES</b>			
13. Discussion on 1 to 3 relevant theories associated with topics.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>RESEARCH DATA COLLECTION STRATEGY</b>			
14. Describes process for collecting data from research sample and from any archival sources.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Phase 2: PRÉCIS Assessment Rubric

PHASE 2: PRÉCIS	Meets Criterion	Does Not Meet Criterion	N/A
<b>DEGREE PROGRAM AND TOPIC ALIGNMENT</b>			
1. The dissertation topic is introduced and aligns to the student's degree program and specialization.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>PROBLEM STATEMENT</b>			
2. The problem is clear, concise, reflective of the purpose statement, and is cited. Recent citations within the last five years.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>PURPOSE OF THE STUDY</b>			
3. The purpose is clear and aligns with the problem.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Research method and design are stated and are appropriate to the proposed study.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. The study objectives are clearly stated.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Geographic location of study is identified without compromising confidentiality.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. <i>Quantitative and mixed method</i> : Research variables are identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. <i>Qualitative</i> : Central Phenomenon or Center of Interests are identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>POPULATION AND SAMPLE</b>			
9. Population(s) and justification for participant sample size or other sources of proposed data are identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>SIGNIFICANCE OF THE STUDY</b>			
10. Discusses why the study is important and what this research may contribute to knowledge.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>NATURE OF THE STUDY</b>			
11. Discusses the appropriateness of the research <i>method</i> (quantitative, qualitative, or mixed).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Discusses the <i>design</i> appropriateness and how the design will accomplish the study objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>RESEARCH QUESTIONS / HYPOTHESES</b>			
13. Research questions align with the problem and purpose of the study. Research questions fully encompass the purpose; they are not broader or narrower than the stated objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. <i>Quantitative and mixed-method studies</i> : Hypotheses are well developed, include both null and alternate hypotheses, and the null and alternate statements are testable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>THEORETICAL OR CONCEPTUAL FRAMEWORK</b>			

15. Discussion reflects theories and/or concepts that align with and are relevant to the study topics.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>TOPIC LITERATURE</b>			
16. Discussion reflects brief overview of topic literature.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Phase 3: Concept Review Assessment Rubric (Chapters 1 and 2 focused)**

<b>CHAPTER 1: INTRODUCTION</b>	<b>Meets Criterion</b>	<b>Does Not Meet Criterion</b>	<b>N/A</b>
<b>INTRODUCTION</b>			
1. The dissertation topic is introduced and the introduction reflects the chapter contents.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>BACKGROUND OF THE PROBLEM</b>			
2. Discussion reflects why the research problem is of important social concern or theoretical interest.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>PROBLEM STATEMENT</b>			
3. The problem is clear, concise, reflective of the purpose statement, and is cited.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>PURPOSE OF THE STUDY</b>			
4. The purpose is clear and aligns with the problem.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Research method and design are stated and are appropriate to the proposed study.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. The study objectives are clearly stated.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Geographic location of study is identified without compromising confidentiality.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. <i>Quantitative and mixed method</i> : Research variables are identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>POPULATION AND SAMPLE</b>			
9. Population(s) and participant sample size or other sources of proposed data are identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>SIGNIFICANCE OF THE STUDY</b>			
10. Discusses why the study is important and what this research may contribute to knowledge.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>NATURE OF THE STUDY</b>			
11. Discusses the appropriateness of the research <i>method</i> (quantitative, qualitative, or mixed).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Discusses the <i>design</i> appropriateness and how the design will accomplish the study objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>RESEARCH QUESTIONS / HYPOTHESES</b>			
13. Research questions align with the purpose of the study. Research questions fully encompass the purpose; they are not broader or narrower than the stated objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

14. <i>Quantitative and mixed-method studies</i> : Hypotheses are well developed, include both null and alternate hypotheses, and the null and alternate statements are testable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>THEORETICAL OR CONCEPTUAL FRAMEWORK</b>			
15. Discussion reflects a few theories that align with and are relevant to the study topics.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>ASSUMPTIONS, LIMITATIONS, AND DELIMITATIONS</b>			
16. Assumptions, limitations, and delimitations of the study are described.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>CHAPTER SUMMARY</b>			
17. Discussion summarizes key points presented in Chapter 1, includes citations, and includes a transition to Chapter 2.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>CHAPTER 2: LITERATURE REVIEW</b>	<b>Meets Criterion</b>	<b>Does Not Meet Criterion</b>	<b>N/A</b>
<b>INTRODUCTION</b>			
18. Discussion reflects brief overview of what is contained in the chapter.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>TITLE SEARCHES AND DOCUMENTATION</b>			
19. Describes the approach used to search for relevant documentation including key words used to search for publications.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>HISTORICAL CONTENT AND CURRENT CONTENT SECTIONS</b>			
20. Organization is presented in a logical and flowing manner from broad topics to narrow, making use of APA Level Headings 3 and 4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21. The literature review topics align with the proposed study; all relevant topics, sub-topics, or variables are discussed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22. Historical content reflects sources over 5 years old; current content reflects sources less than 5 years old.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23. Discussion <i>synthesizes</i> the literature rather than discussing sources individually.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24. The literature compares and contrasts different points of view regarding existing research in the field.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>THEORETICAL OR CONCEPTUAL FRAMEWORK LITERATURE</b>			
25. Expands on the Chapter 1 framework by discussing sources of literature relevant to the selected theories.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>METHODOLOGY LITERATURE</b>			
26. Addresses some methodologies accomplished in previous research within the selected topic.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>RESEARCH DESIGN LITERATURE</b>			
27. Expands on Chapter 1 discussion of the selected design and includes literature from the germinal methodologists associated with the design.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>CONCLUSION</b>			
28. Discussion reflects conclusions <i>derived from analysis of the literature</i> and includes citations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>CHAPTER SUMMARY</b>			
29. Discussion summarizes key points presented in Chapter 2.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>LITERATURE REVIEW OVERALL DEPTH AND BREADTH</b>			
30. The literature review demonstrates depth and breadth. <i>Note that Chapter 2 should be expanded to include 30 to 50 pages in Phase 4.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



### Phase 4: Proposal Criteria Assessment

CHAPTER 1: INTRODUCTION	Meets Criterion	Does Not Meet Criterion	N/A
<b>INTRODUCTION</b>			
1. The dissertation topic is introduced and the introduction reflects the chapter contents.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>BACKGROUND OF THE PROBLEM</b>			
2. Discussion reflects why the research problem is of important social concern or theoretical interest and is supported with peer reviewed literature.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>PROBLEM STATEMENT</b>			
3. The problem is clear, concise, reflective of the purpose statement, and is cited. Recent citations within the last five years.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>PURPOSE OF THE STUDY</b>			
4. The purpose is clear and aligns with the problem.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Research method and design are stated and are appropriate to the proposed study.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. The study objectives are clearly stated.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Geographic location of study is identified without compromising confidentiality.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. <i>Quantitative and mixed method:</i> Research variables are identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. <i>Qualitative:</i> Central Phenomenon or Center of Interests are identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>POPULATION AND SAMPLE</b>			
10. Population(s) and justification for participant sample size or other sources of proposed data are identified.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>SIGNIFICANCE OF THE STUDY</b>			
11. Discusses why the study is important and what this research may contribute to knowledge.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>NATURE OF THE STUDY</b>			
12. Discusses the appropriateness of the research <i>method</i> (quantitative, qualitative, or mixed).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Discusses the <i>design</i> appropriateness and how the design will accomplish the study objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>RESEARCH QUESTIONS / HYPOTHESES</b>			
14. Research questions align with the problem and purpose of the study. Research questions fully encompass the purpose; they are not broader or narrower than the stated objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

15. <i>Quantitative and mixed-method studies</i> : Hypotheses are well developed, include both null and alternate hypotheses, and the null and alternate statements are testable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>THEORETICAL OR CONCEPTUAL FRAMEWORK</b>			
16. Discussion reflects theories and/or concepts that align with and are relevant to the study topics.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>DEFINITIONS (REQUIRED ONLY FOR STUDIES WITH UNIQUE TERMINOLOGY)</b>			
17. Definitions are provided for unique terms.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>ASSUMPTIONS, LIMITATIONS, AND DELIMITATIONS</b>			
18. Assumptions, limitations, and delimitations of the study are described and the generalizability of the study findings is discussed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>CHAPTER SUMMARY</b>			
19. Discussion summarizes key points presented in Chapter 1, includes citations, and includes a transition to Chapter 2.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>CHAPTER 2: LITERATURE REVIEW</b>	<b>Meets Criterion</b>	<b>Does Not Meet Criterion</b>	<b>N/A</b>
<b>INTRODUCTION</b>			
20. Discussion reflects brief overview of what is contained in the chapter.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>TITLE SEARCHES AND DOCUMENTATION</b>			
21. Describes the approach used to search for relevant documentation including key words used to search for publications.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>HISTORICAL CONTENT AND CURRENT CONTENT SECTIONS</b>			
22. Organization is presented in a logical and flowing manner from broad topics to narrow, making use of APA Level Headings 3 and 4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23. The literature review topics align with the proposed study; all relevant topics, sub-topics, or variables are discussed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24. Historical content reflects sources over 5 years old; current content reflects sources less than 5 years old.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25. Discussion <i>synthesizes</i> (not a study-by-study summary) the literature rather than discussing sources individually.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26. A balanced discussion of alternative viewpoints is provided. The literature compares and contrasts different points of view regarding existing research in the field.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>THEORETICAL OR CONCEPTUAL FRAMEWORK LITERATURE</b>			
27. Expands on the Chapter 1 framework by discussing germinal and current literature relevant to the selected theories or concepts.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>METHODOLOGY LITERATURE</b>			
28. Addresses methodologies accomplished in previous research within the selected topic and support that the selected methodology will add to the body of knowledge.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>RESEARCH DESIGN LITERATURE</b>			
29. Expands on Chapter 1 discussion of the selected design and includes literature from several design methodologists including the germinal methodologists associated with the design.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>CONCLUSION</b>			
30. Discussion reflects conclusions <i>derived from analysis of the literature</i> and includes citations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>CHAPTER SUMMARY</b>			
31. Discussion summarizes key points presented in Chapter 2, includes citations, and includes a transition to Chapter 3.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>LITERATURE REVIEW OVERALL DEPTH AND BREADTH</b>			
32. The literature review demonstrates significant depth and breadth; Chapter 2 includes 30 to 50 pages.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>CHAPTER 3: RESEARCH METHODOLOGY</b>	<b>Meets Criterion</b>	<b>Does Not Meet Criterion</b>	<b>N/A</b>
<b>INTRODUCTION</b>			
33. Introduction reiterates the purpose statement and provides a brief chapter overview.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>RESEARCH METHOD AND DESIGN APPROPRIATENESS</b>			
34. Elaborates on the Chapter 1 discussion of rationale for research method (quantitative, qualitative, or mixed) appropriateness, including a discussion of why the selected method was chosen instead of another.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
35. Elaborates on the Chapter 1 discussion of rationale for proposed research design appropriateness. Compares the appropriates of the proposed design to two or three alternate research designs. The discussions are supported by citations from methodological theorists.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36. Discussion of how the proposed design will accomplish the study goals and why design is the optimum choice for this specific research.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>RESEARCH QUESTIONS/HYPOTHESES</b>			
37. The restated research questions and hypotheses are consistent with those presented in Chapter 1.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>POPULATION AND SAMPLE</b>			
38. Population: Elaboration of population information given in chapter 1. Description matches the overview discussion given in chapter 1. For studies without primary data, the section discusses the proposed sources of the study data, such as archival data.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
39. Sample: Elaboration of information given in chapter 1. Discussion supports the proposed participant number and how the sampling number was determined. For studies without primary data, the section discusses the proposed sampling of the secondary sources.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>INFORMED CONSENT AND CONFIDENTIALITY</b>			
40. Discusses how informed consent will be obtained from participants and describes any signed permissions already obtained.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
41. Describes how any confidential data will be stored and later destroyed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
42. Discusses the process of removing identifiers from within confidential data.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>INSTRUMENTATION</b>			
43. Describes any instrumentation to be used to collect primary data such as qualitative questionnaires, interview protocols, or surveys.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
44. Discusses the role of the researcher.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
45. Includes a table to indicate how the instrumentation items align to the research questions or hypotheses.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>FIELD TEST OR PILOT STUDY</b>			
46. <i>Qualitative and mixed-method studies:</i> Describes the field test conducted on qualitative instrumentation and whether the results of the field test were used to revise the instrumentation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

47. <i>Quantitative and mixed-method studies</i> : Describes the pilot study to be conducted on original quantitative instrumentation following IRB approval.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>CREDIBILITY AND TRANSFERABILITY OR VALIDITY AND RELIABILITY</b>			
48. <i>Qualitative and mixed-method studies</i> : Describes how narrative data will be demonstrated to have credibility and transferability or trustworthiness. Describe triangulation of narrative data sources.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
49. <i>Quantitative and mixed-method studies</i> : Describes the existing validity and reliability data for any quantitative instrumentation or describes the pilot study to be conducted on original quantitative instrumentation following IRB approval.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>DATA COLLECTION</b>			
50. Discussion provides a complete description of the processes to be used to collect any primary or secondary data and describes each phase of data collection process clearly.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
51. Discussion includes how any participants will be recruited for participation and describes any permissions required to collect primary or secondary data.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>DATA ANALYSIS</b>			
52. Proposed data analyses techniques are clear and appropriate to the research design. A sufficient level of detail is provided. For example, quantitative analysis includes information on the statistical tests to be performed, Alpha levels for hypotheses testing, and whether the testing will be one-tailed or two-tailed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>CHAPTER SUMMARY</b>			
53. Discussion summarizes key points presented in Chapter 3, includes citations, and includes a transition to Chapter 4, which will be added later.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>PROPOSAL ALIGNMENT, FORMATTING, AND WRITING</b>	<b>Meets Criterion</b>	<b>Does Not Meet Criterion</b>	<b>N/A</b>
<b>ALIGNMENT BETWEEN THE RESEARCH TOPIC AND THE STUDENT'S PROGRAM OF STUDY</b>			
54. The proposed study aligns well with the student's program of study (DM, DBA, DHA, EDD, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>STUDY TITLE</b>			
55. The study title reflects the study purpose and methodology.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>ORGANIZATION AND FORMATTING</b>			
56. Document is well organized.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
57. Document adheres to UoPx guidelines and APA guidelines for figures, tables, citations, and references.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>WRITING STYLE, COMPOSITION, AND CLARITY</b>			
58. Document communicates the proposed study clearly.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
59. Proposal is written in future tense with no first-person language.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
60. Grammar, punctuation, sentence structure, and spelling are correct.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
61. Writing is clear, precise, and avoids redundancy. There is a focused discussion of section topics.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
62. Flow of words is smooth and comprehensible. There is a logical flow of ideas between sections with smooth transition between paragraphs, topics, sections, and chapters.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
63. Written in scholarly language; accurate, balanced, objective, tentative, without conclusive/definitive statements, reflection of researcher's opinion, clichés, or hyperbole.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
64. Balanced presentation includes discussion of proponents in the literature review with differing viewpoints on theories and variables used in the dissertation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
65. Document presents cited references rather than relying learner's personal opinion (i.e. all statements are supported with references or analytical development).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
66. The writer's voice is clear and consistent throughout the document.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### Phase 5: Dissertation Criteria Assessment

When scoring the final dissertation, the entire committee will score using the Chapters 1-3 rubrics above and the Chapters 4-5 rubrics below.

CHAPTER 4: ANALYSIS AND RESULTS	Meets Criterion	Does Not Meet Criterion	N/A
<b>INTRODUCTION</b>			
1. The dissertation topic is introduced and the introduction reflects the chapter contents.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>RESEARCH QUESTIONS/HYPOTHESES</b>			
2. The research questions and hypotheses are presented and are consistent with those presented in previous chapters.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>DATA COLLECTION</b>			
3. Discussion reflects a detailed description the informed consent and data collection process used.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>DEMOGRAPHICS</b>			
4. The participant demographics are described while maintaining participant confidentiality.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>PILOT STUDY (Include only for original quantitative instruments)</b>			
5. Reliability and validity are reported for any original quantitative instruments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>DATA ANALYSIS</b>			
6. Discusses why the study is important and what this research may contribute to knowledge.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>RESULTS</b>			
7. Results are reported clearly <b>and correspond to appropriate research question(s)</b> . Any resultant themes are stated in short, complete sentences, and hypotheses testing results are stated in statistical terms <i>and</i> clearly describing whether the null statement was supported or not supported.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Qualitative themes are supported by sufficient examples of participant direct quotes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>CHAPTER SUMMARY</b>			
9. Discussion summarizes key points presented in Chapter 4, reiterates the results <b>and emergent themes (if applicable)</b> , and includes a transition to Chapter 5.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>CHAPTER 4 FORMATTING</b>			
10. Chapter 4 does not include any citations ( <i>Note that no citations should be needed to discuss the analysis and results</i> ).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

CHAPTER 5: CONCLUSIONS AND RECOMMENDATIONS	Meets Criterion	Does Not Meet Criterion	N/A
<b>INTRODUCTION</b>			
11. Discussion reflects a brief overview of what is contained in the chapter.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>RESEARCH QUESTIONS/HYPOTHESES</b>			
12. The research questions and hypotheses are presented and are consistent with those presented in previous chapters.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>DISCUSSION OF FINDINGS</b>			
13. Each result from Chapter 4 is compared and contrasted to several, such as three to five, sources of existing literature. Explained how the completed study supported or refuted the conceptual or theoretical framework discussed in Chapter 2.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>LIMITATIONS</b>			
14. The limitations discussion focuses solely on issues discovered while conducting the study and out of the researcher's control.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>RECOMMENDATIONS TO LEADERS AND PRACTITIONERS</b>			
15. The study recommendations are clear and actionable and align with the research findings.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Recommendations align with the research design, themes (if applicable) and research questions. For example, grounded theory studies include a theory or theoretical model and action research studies include an actionable plan.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>RECOMMENDATIONS FOR FUTURE RESEARCH</b>			
17. Recommendations address the need for additional studies that emerged as a result of the current study and include potential contributions to methods and designs that will further advance the topic knowledge.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>CHAPTER SUMMARY</b>			
18. Discussion summarizes key points presented in Chapter 5 reiterates the research question findings, and includes a cogent statement regarding what the study has contributed to the body of knowledge.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



<b>DISSERTATION ALIGNMENT, FORMATTING, AND WRITING</b>	<b>Meets Criterion</b>	<b>Does Not Meet Criterion</b>	<b>N/A</b>
<b>CONSISTENCY THROUGHOUT THE DOCUMENT</b>			
19. Chapters 1 through 5 reflect the actual sample size and the actual processes used for data collection and analysis.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>ORGANIZATION AND FORMATTING</b>			
20. Abstract contains 150 to 250 words formatted as a single unindented paragraph. Abstract includes the study objectives, methodology, sample description, and study findings.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21. Any acknowledgments and dedication pages are completed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22. Document is well organized and correctly formatted.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23. Document adheres to UoPx guidelines and APA guidelines for figures, tables, citations, and references.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24. Only appendices referenced in the document are included and all appendices maintain confidentiality. No phone numbers or emails are listed, including the researcher's information.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>WRITING STYLE, COMPOSITION, AND CLARITY</b>			
25. Document communicates the conducted study clearly.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26. Dissertation is written in past tense with no first-person language except in a researcher reflection, if applicable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27. Grammar, punctuation, sentence structure, and spelling are correct.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28. Writing is clear, precise, and avoids redundancy. There is a focused discussion of section topics.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29. Flow of words is smooth and comprehensible. There is a logical flow of ideas between sections with smooth transition between paragraphs, topics, sections, and chapters.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
30. Written in scholarly language; accurate, balanced, objective, tentative, without conclusive/definitive statements, reflection of researcher's opinion, clichés, or hyperbole.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31. The writer's voice is clear and consistent throughout the document.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Final Dissertation Editing (FDE) Checklist

The following checklist describes APA formatting requirements and dissertation formatting requirements unique to the College of Doctoral Studies. There should be no errors in the document prior to final submission for publication.

<b>FINAL DISSERTATION EDITING (FDE) CHECKLIST</b>
<b>A. Text</b>
1. Times Roman 12-point font used
2. Document double-spaced throughout
3. Margins at 1 inch on Top, Bottom, Right sides, 1.5 inches on Left and ragged right edge
4. Paragraphs indented five spaces (1/2 Inch)
5. Headings and subheadings properly formatted
6. No end-of-line hyphenation
7. Only one space after punctuation
8. No bold type used for emphasis; Italics used instead
<b>B. Frontmatter</b>
1. Title page conforms to UoPx requirements
2. Order of manuscript pages conforms to UoPx requirements
3. Abstract included and properly formatted – Single paragraph with no paragraph indentation
4. Table of Contents accurate and properly formatted with five space or ½ inch indentations
5. List of Tables and List of Figures included only for two or more tables or figures
<b>C. Content Pages</b>
1. No “orphaned” or standalone headings at the bottom of a page; page break used to avoid standalone headings
2. Page numbers correctly formatted; centered at bottom of pages and sequenced – Small Roman numerals on front pages and Arabic on body pages

3. Each chapter begins with chapter number and title centered at top in plain text, not bold

4. Sections of text follow one another without break

5. Headings properly formatted following APA Rules

#### **D. Quotations**

1. Quotations with fewer than 40 words incorporated into text and enclosed with quotation marks

2. Quotations of 40 or more words properly indented in block format

#### **E. Tables and Figures**

1. Numbered separately, sequentially, and properly labeled

2. Written permission obtained, and referenced if necessary

3. Tables and Figures are mentioned in the text before they are shown

4. Placed as near as possible to their descriptions in the text

#### **F. Back Matter**

1. Order of pages conforms to requirements

2. Pages properly formatted and numbered

3. Reference List and each Appendix begin on a new page

4. Hanging indent is used for each reference in Reference List

#### **G. In-Text Citations**

1. All outside ideas properly cited

2. Citations complete and properly formatted; use of "and" and ampersand are correct

3. Electronic sources properly cited

4. Personal communications cited in text only, not in the reference list

5. Page numbers included for direct quotations

6. Secondary sources should be avoided unless the primary source is not available.

## H. Reference List Citations

1. References in correct alphabetical order of the last name of the authors with author's initials

2. Electronic references properly cited and formatted

3. Format of references conforms to UOPX and APA requirements

4. In-text and reference list citations correspond

## Change Log

Date	Page Number	Changes to Document:
January 23, 2023	16	Added statement to explain how the completed study supported or refuted the conceptual or theoretical framework discussed in Chapter 2.
January 23, 2023	17	Changed two to one for A.7 in FDE to align with APA.
January 23, 2023	Navigation	Added headings to Navigation.
January 23, 2023	15 and 16	Minor tweaks to language (see highlighted): #7 Results are reported clearly and correspond to appropriate research question(s). #9 Discussion summarizes key points presented in Chapter 4, reiterates the results and emergent themes (if applicable), and includes a transition to Chapter 5. #16 Recommendations align with the research design, themes (if applicable) and research questions.
February 28, 2023	20	Changed G.6 to Secondary sources should be avoided unless the primary source is not available.
April 2024	1	Updated CDS Central Journey link and removed purpose